

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE
(REV. 12-2004)

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

127-75824

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/509,138

INTERNATIONAL APPLICATION NO.

PCT/EP2003/002991

INTERNATIONAL FILING DATE

21 March 2003 (21.03.03)

PRIORITY DATE CLAIMED

28 March 2002 (28.03.02)

TITLE OF INVENTION

WATER SOLUBLE BRANCHED BLOCK COPOLYMERS

APPLICANT(S) FOR DO/EO/US

JAEGER, Werner; HAHN, Mathias; LIESKE, Antje; KORTH, Heike; STAECK, Rainer; SCORDIALO, Angelo

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☐ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☒ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☐ The US has been elected (Article 31).
5. ☐ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 23 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☐ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☒ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV 417055830 US
23. ☒ Other items or information:
 1. Statement Under 37 CFR 3.73(b)
 2. Response to Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US)
 3. Copy of Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US)

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO (if known, see 37 CFR 1.5) 10/509,138		INTERNATIONAL APPLICATION NO. PCT/EP2003/002991		ATTORNEY'S DOCKET NUMBER 127-75824	
24. The following fees are submitted:				Applicant use	Office use
<input type="checkbox"/> a) Basic national fee		\$300.00		\$	\$0.00
<input type="checkbox"/> b) Examination fee		\$200.00		\$	\$0.00
<input type="checkbox"/> c) Search fee		\$500.00		\$	\$0.00
TOTAL OF ABOVE CALCULATIONS =		\$1000.00		\$	\$0.00
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)	RATE		
- 100 =	/50 =		x \$250.00	\$	\$0.00
Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	\$130.00
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	- 20 =	0	x \$50.00	\$	\$0.00
Independent claims	- 3 =	0	x \$200.00	\$	\$0.00
MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + \$360.00				\$	\$0.00
TOTAL OF ABOVE CALCULATIONS =				\$	\$130.00
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				\$	\$0.00
SUBTOTAL =				\$	\$130.00
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	\$0.00
TOTAL NATIONAL FEE =				\$	\$130.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +				\$	\$0.00
TOTAL FEES ENCLOSED =				\$	\$130.00
130.00 DP				Amount to be refunded:	\$
				Amount to be charged:	\$
<p>a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>130.00</u> to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is</p> <p>c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>10-0435</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p>					
<p>NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.</p> <p>SEND ALL CORRESPONDENCE TO:</p> <p>CONARD, Richard D. BARNES & THORNBURG LLP 11 South Meridian Street Indianapolis, IN 46204 US</p>					
				SIGNATURE	<i>Richard D. Conard</i>
				NAME	Richard D. CONARD, April 8, 2005
				REGISTRATION NUMBER	27321

04/13/2005
01 FC:1617

IN THE UNITED STATES PATENT OFFICE

<i>Earliest Priority Date:</i>	28 March 2002 (28.03.02)	}
		}
		}
<i>International Serial No.:</i>	PCT/EP2003/002991	}
		}
		}
<i>U.S. Serial No.:</i>	10/509,138	}
		}
<i>Invention:</i>	WATER SOLUBLE BRANCHED BLOCK COPOLYMERS	}
		}
<i>Applicant:</i>	JAEGER, Werner; HAHN, Mathias; LIESKE, Antje; KORTH, Heike; STAECK, Rainer; SCORDIALO, Angelo	}
		}
<i>International Filing Date:</i>	21 March 2003 (21.03.03)	}
		}
		}
<i>Attorney Docket:</i>	127-75824	}
		}

CERTIFICATE UNDER 37 C.F.R. § 1.10


MAIL STOP PCT
Attention: DO/EO/US
Commissioner for Patents
P.O. Box 1450
Alexandria, VA. 22313-1450

Sir:

Express Mail" Mailing Label No.: EV417055830US

Date of Deposit: ~~08 March~~ ^{08 April} 2005 (~~08.03.05~~ ^{08.04.05})

I hereby certify that this paper or fee is being deposited with the United States Postal Service's "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA. 22313-1450.


Mary Jean Eskridge

Indianapolis, Indiana
(317) 231-7253

IN THE UNITED STATES PATENT OFFICE

Earliest Priority Date: 28 March 2002 (28.03.02)

International Serial No.: PCT/EP2003/002991

U.S. Serial No.: 10/509,138

Invention: WATER SOLUBLE BRANCHED
BLOCK COPOLYMERS

Applicant: JAEGER, Werner; HAHN, Mathias;
LIESKE, Antje; KORTH, Heike;
STAECK, Rainer; SCORDIALO,
Angelo

International Filing Date: 21 March 2003 (21.03.03)

Attorney Docket: 127-75824

Certificate Under 37 CFR 1.10

Express Mail No.: EV417055830US

Date of Mailing: 18 APR 14 2005

I hereby certify that this correspondence is being deposited with the United States Postal Service's "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date above and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

(Signature)

Mary Jean Eskridge

(Typed or Printed Name of Person Mailing Paper or Fee)

**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS
UNDER 35 U.S.C. 371 IN THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)**

Attn: DO/EO/US
Mail Stop: PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

In response to the Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US) mailed 10 February 2005 (10.02.05), applicants submit herewith:

1. check in the amount of \$130.00 for the surcharge fee for furnishing the oath or declaration later than 30 months from earliest claimed priority date;
2. copy of Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US).
3. an original Declaration for Utility or Design Patent Application (37 CFR 1.63);
4. an original Power of Attorney and Correspondence Address Indication form; and
5. an original Statement Under 37 CFR 3.73(b).

The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Deposit Account No. 10-0435, referencing attorney docket no. 127-75824. A duplicate of this Response is enclosed.

Respectfully submitted,



Richard D. CONARD
Atty. Reg. No. 27321
Attorney for Applicants

Attachments: 5 (as Set Forth Above)

RDC/mje/718149v1
Indianapolis, Indiana 46204
(317) 231-285



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
 United States Patent and Trademark Office
 Address: COMMISSIONER FOR PATENTS
 P.O. Box 1450
 Alexandria, Virginia 22313-1450
 www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/509,138	Werner Jaeger	127-75824

23643
 BARNES & THORNBURG
 11 SOUTH MERIDIAN
 INDIANAPOLIS, IN 46204

RECEIVED

FEB 14 2005

BARNES & THORNBURG LLP

INTERNATIONAL APPLICATION NO.	
PCT/EP03/01991	
I.A. FILING DATE	PRIORITY DATE
03/21/2003	03/01/2002

CONFIRMATION NO. 1950

371 FORMALITIES LETTER



OC000000015146566

Date Mailed: 02/10/2005

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 09/27/2004
- Copy of the International Search Report filed on 09/27/2004
- Preliminary Amendments filed on 09/27/2004
- Oath or Declaration filed on 09/27/2004
- Request for Immediate Examination filed on 09/27/2004
- U.S. Basic National Fees filed on 09/27/2004

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
 - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.
- \$130 Surcharge for providing the oath or declaration later than 30 months from the priority date (37 CFR 1.492(e)) is required.

SUMMARY OF FEES DUE:

Total additional fees required for this application is \$130 for a Large Entity:

- \$130 Late oath or declaration Surcharge.

ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION,

MS/RCS
 m92
 21 Feb 05

WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

LAMONT M HUNTER

Telephone: (703) 308-9140 EXT 201

PART 1 - ATTORNEY/APPLICANT COPY

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/509,138	PCT/EP03/01991	127-75824

FORM PCT/DO/EO/905 (371 Formalities Notice)